



12-22-04

IFW 3663

EXPRESS MAIL LABEL NO.: EV485808998

PATENT APPLICATION

Docket No.: 14321.60

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:)
)
Takayuki Mizuno, et al.)
)
Serial No.: 10/727,171) Art Unit
) 3663
Filed: December 3, 2003)
)
Confirmation No.: 5976)
)
For: OPTICAL MULTI/DIMULTIPLEXING)
CIRCUIT EQUIPPED WITH PHASE)
GENERATING DEVICE)
)
Examiner: Unassigned)

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

Except for the cited U.S. Patent documents, a copy of each of the listed references or relevant portion thereof is also enclosed.

Dated this 21st day of December 2004.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Eric M. Kamerath", with a stylized flourish at the end.

Eric M. Kamerath
Attorney for Applicant
Registration No. 16,081
Customer No. 022913

EMK:ahm
AHM0000000038V001



EXPRESS MAIL LABEL NO.: EV485808998US

Form PTO-1449

Sheet 1 of 3

Applicant: Takayuki Mizuno, et al.

Serial No.: 10/727,171

Att'y Docket No.: 14321.60

Filing Date: December 3, 2003

Group: 3663

Confirmation No.: 5976

For: OPTICAL MULTI/DEMULTIPLEXING CIRCUIT EQUIPPED WITH
PHASE GENERATING DEVICE

SUPPLEMENTAL INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Patent Number</u>	<u>Publ./Issue Date</u>	<u>Name</u>	<u>Filing Date</u>
_____ A1.	2002/0172447	11/21/2002	MacDonald, et al	5/20/2002
_____ A2.	2002/0044712	4/18/2002	Hung	5/29/2001

Foreign Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publ. Date</u>	<u>Country or Patent Office</u>	<u>Sub Class</u>	<u>Class</u>	<u>Trans- lation</u>
_____ A3.	EP 0382461	02/06/1990	Europe			no
_____ A4.	EP1231490	02/06/2002	Europe			no
_____ A5.	EP1227359	01/25/2002	Europe			no
_____ A6.	EP1168010	6/26/2001	Europe			no

Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

EXPRESS MAIL LABEL NO.: EV485808998US

Form PTO-1449

Sheet 2 of 3

Applicant: Takayuki Mizuno, et al.

Serial No.: 10/727,171

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Filing Date: December 3, 2003

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For: OPTICAL MULTI/DEMULTIPLEXING CIRCUIT EQUIPPED WITH
PHASE GENERATING DEVICE

Other Documents

(including author (if listed), title, relevant pages, date of publication including at least month and year).

Examiner

Initial*

_____ A7. Oguma, M. Ed, *Compact and High Performance Waveguide – Type Interleave Filters for WDM Networks*, Planar Lightwave Circuits 1.2.1

References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the

Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Form PTO-1449

Sheet 3 of 3

Applicant: Takayuki Mizuno, et al.

Serial No.: 10/727,171

Att'y Docket No.: 14321.60

Filing Date: December 3, 2003

Group: 3663

Confirmation No.: 5976

For: OPTICAL MULTI/DEMULTIPLEXING CIRCUIT EQUIPPED WITH
PHASE GENERATING DEVICE

submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

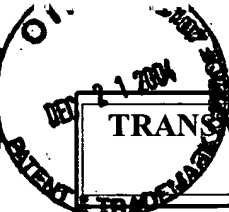
The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

AHM0000000036V001

Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
14321.60

In Re Application Of: **Takayuki Mizuno et al.**

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/727,171	December 3, 2003	Unassigned	022913	3663	5976

Title: **OPTICAL MULTI/DEMULTIPLEXING CIRCUIT EQUIPPED WITH PHASE GENERATING DEVICE**

Address to:
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

DEC 21 2004
PATENT & TRADEMARK OFFICE

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
14321.60

In Re Application: Takayuki Mizuno et al.

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/727,171	December 3, 2003	Unassigned	022913	3663	5976

Title: **OPTICAL MULTI/DEMULTIPLEXING CIRCUIT EQUIPPED WITH PHASE GENERATING**

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below.
- ☐ Charge the amount of _____
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.
- ☐ Payment by credit card. Form PTO-2038 is attached.

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____)

(Date)

Signature

Typed or Printed Name of Person Signing Certificate

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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on _____

(Date)

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Certificate

***This certificate may only be used if paying by deposit account.**


Signature

Dated: December 21, 2004

ERIC M. KAMERATH
Registration No. 46,081
Customer No. 022913

CC:

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Docket No.

14321.60

Applicant(s): Takayuki Mizuno et al.

Serial No.

10727,171

Filing Date

December 3, 2003

Examiner

Unassigned

Group Art Unit

3663

Invention: OPTICAL MULTI/DEMULTIPLEXING CIRCUIT EQUIPPED WITH PHASE GENERATING DEVICE

I hereby certify that this **Information Disclosure Statement and corresponding documents***
(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on
December 21, 2004
(Date)

Andrea H. Maxfield

(Typed or Printed Name of Person Mailing Correspondence)

Andrea Maxfield

(Signature of Person Mailing Correspondence)

EV 485808998 US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

- Transmittal of Information Disclosure Statement (2 pgs, in duplicate); ✓
- Supplemental Information Disclosure Statement (2 pgs); ✓
- Form PTO-1449 Listing Seven (7) Cited References (3 pgs); ✓
- Legible Copies of Five (5) Cited References; ✓
- postcard; and ✓
- Certificate of Express Mailing Label No. EV 485808998 US. ✓